

**Environmental Management Consolidated Business Center (EMCBC)****Subject: Vital Records Identification and Protection**Policies, Procedures
and PlansAPPROVED: (Signature on File)
EMCBC Director**1.0 PURPOSE**

This procedure establishes a process for identifying and protecting records necessary for the U.S. Department of Energy (DOE) Environmental Management Consolidated Business Center (EMCBC) to continue its key functions and activities before, during and after an emergency or disaster. This procedure is intended to ensure that the Agency's critical records are identified and protected so that there will not be a loss of critical information after an emergency or disaster. The Vital Records Program also serves as part of the Continuity of Operations (COOP) plan.

2.0 SCOPE

Records are managed by using the theory that records pass through three stages: creation/receipt, maintenance/use and disposition. This procedure, along with the Identifying, Filing and Maintaining Records and File Plan Creation and Maintenance procedures covers the first two stages of the records lifecycle (creation/receipt and maintenance/use). Records Disposition shall be covered in a separate procedure(s).

3.0 APPLICABILITY

This procedure applies to all EMCBC organizations and may be adopted by Service Level Agreement (SLA) sites, at their discretion.

4.0 REQUIREMENTS and REFERENCES**4.1 REQUIREMENTS**

- 4.1.1 36 CFR 1236, *Management of Vital Records*, which prescribes policies and procedures for establishing a program for the identification and protection of vital records needed for continuity of Agency operations before, during and after emergencies and records needed to protect the legal and financial rights of the Government and persons affected by Government activities.
- 4.1.2 DOE O 243.1, *Records Management Program*, dated 2-3-06.
- 4.1.3 DOE O 243.2, *Vital Records*, dated 2-2-06
- 4.1.4 DOE O 151.1C, *Comprehensive Emergency Management System*, dated 11-2-05.

- 4.1.5 DOE O 420.1B, *Facility Safety*, dated 12-22-05
- 4.1.6 DOE O 470.4, *Safeguards and Security Program*, dated 8-26-05
- 4.1.7 DOE O 471.1A, *Identification and Protection of Unclassified Controlled Nuclear Information*, dated 6-30-00.
- 4.1.8 DOE O 471.3, *Identifying and Protecting Official Use Only Information*, dated 4-9-03

4.2 REFERENCES

- 4.2.1 Federal Preparedness Circular 65, *Federal Executive Branch Continuity of Operations (COOP)*, dated 6-15-04.
- 4.2.2 DOE, Office of the Chief Information Officer pamphlet, *Identify and Protect Your Vital Records*, March 2004.
- 4.2.3 DOE N 150.1, *Continuity of Operations*, dated 1-14-05.
- 4.2.4 DOE G 151.1, *Emergency Management Guide*, dated 8-21-97.
- 4.2.5 EMCBC Records Management Policy, PS-243-01, dated March 5, 2007.
- 4.2.6 EMCBC File Plan Creation and Maintenance, IP-243-04, Rev. 1, dated March 12, 2007
- 4.2.7 EMCBC Identifying, Filing and Maintaining Records, IP-243-03, Rev. 1, dated March 12, 2007
- 4.2.8 EMCBC Continuity of Operations (COOP), PL-471-01, dated February 1, 2007

5.0 DEFINITIONS

- 5.1 Cycling: The periodic removal of obsolete copies of Vital Records and replacement with copies of current Vital Records. This may occur daily, weekly, quarterly, annually, or at other designated intervals.
- 5.2 Disaster: An unexpected occurrence inflicting destruction and distress and having adverse effects on EMCBC operations.
- 5.3 Disaster Prevention: The process of surveying the work place, identifying areas or situations which might cause or contribute to a disaster, and taking action to eliminate or minimize the areas or situations.

- 5.4 Dispersal: Protection of vital records through production or duplicate copies stored at other locations and/or levels of an organization.
- 5.5 Duplication: Transferring of records to microfilm, electronic, or magnetic media, or paper photocopies, in order to protect vital information. Copies are made at the time of origination or on a scheduled basis.
- 5.6 Emergency: A situation or occurrence of a serious nature (e.g., fire, flood, electrical failure) developing suddenly and unexpectedly requiring immediate action.
- 5.7 Emergency Operating Records: Vital records essential to the continued performance or reconstitution of the Federal Government during and after an emergency. Examples of these records include emergency plans, delegation of authority, staffing assignments, and selected records needed to continue critical agency operations, as well as those that assist EMCBC in conducting operations under emergency conditions and in resuming operations after an emergency.
- 5.8 File Plan: A plan designating the physical location(s) at which an agency's files, including vital records, are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility.
- 5.9 Legal and Financial Rights Records: Vital records essential to the preservation of the legal and financial rights of individual citizens and the Federal government. Examples of these records include accounts receivable and payable records, social security records, payroll records, retirement records and insurance records.
- 5.10 Mitigation: Any actions taken to prevent or soften the effects of a man-made or natural disaster or emergency.
- 5.11 Records: "...all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by the Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the information value of the data in them." (44 U.S.C. 3301, Definition of Records).
- 5.12 Record Series: A group of related files kept together as a unit because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have a relationship arising from their creation, receipt, or use.
- 5.13 Recovery: The portion or phase of disaster response in which efforts are made to salvage and reconstruct damaged records in order to restore normal operations.
- 5.14 Response: First-line implementation of a disaster-plan immediately following a disaster. The disaster team goes in action and components of the plan go into effect.

- 5.15 Tier 1 Records: Records essential to the continued functioning of an organization within the first few days of an emergency or disaster. Also called COOP Vital Records.
- 5.16 Tier 2 Records: Records essential to respond to the emergency or disaster, to handle the crisis and reduce or mitigate disruption of the operation, between days 6 and 30.
- 5.17 Tier 3 Records: Records necessary to respond to the emergency or disaster after 30 days. These are mostly project-specific records that are needed to continue work on the most crucial projects after the emergency response is under control.
- 5.18 Vital Records: Those emergency operating records and legal and financial rights records required during and after an emergency or as part of the recovery from a disaster.
- 5.19 Vital Records Inventory: A management tool used by EMCBC to identify essential operating and financial records, their locations, and the measures being used for their protection.
- 5.20 Vital Records Program: The policies, plans, and procedures developed and implemented and the resources needed to identify, use, and protect the essential records needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions or to protect the Federal government's rights or those of its citizens.

6.0 RESPONSIBILITIES

6.1 EMCBC Director

- 6.1.1 Designate a Records Management Field Officer (RMFO), in accordance with DOE O 243.1, to implement the rights and interest records portion (Tier 2 and 3) of the Vital Records Program in accordance with the requirements of DOE O 243.2 for purpose of record availability.
- 6.1.2 Designate COOP Program Point-of-Contact in accordance with DOE O 151.1C, Comprehensive Emergency Management System, Chapter XI, and Paragraph 1, to implement the emergency operating records portion (Tier 1) of the Vital Records Program in accordance with requirements of this order for purposes of record availability.
- 6.1.3 Ensure EMCBC personnel are aware of and execute appropriate measures to identify and protect vital records.

6.2 Assistant Directors

- 6.2.1 Ensure that personnel are appropriately informed of the objectives, requirements and employee responsibilities of the Vital Records Program.

- 6.2.2 Determine which records within their physical and legal custody are vital.
- 6.2.3 Provide resources to support the vital records program (e.g., Records Custodian).
- 6.2.4 In conjunction with the Records Custodian and the Records Management Team, ensure the copies of vital records are properly managed throughout their lifecycle.
 - 6.2.4.1 Ensure records are updated, stored, and replaced (cycled) in accordance with established requirements.

6.3 Assistant Director, Office of Contracts

- 6.3.1 Ensure that all Contractor Requirement Documents (CRD) are incorporated into affected contracts (e.g., DOE O 243.2, Vital Records).

6.4 Records Management Field Officer (RMFO)

- 6.4.1 Develop, implement, and maintain an EMCBC Vital Records Program that incorporates a list of all organizational unit vital records into one complete format.
- 6.4.2 Ensure that rights and interest records are compiled, maintained, and updated.
- 6.4.3 Ensure that all vital records are protected and retrievable.
- 6.4.4 Work with COOP Program Point-of-Contact to assess possible threats and risks, to determine the level of protection or response that may be required.
- 6.4.5 Include vital records identification and management in records program assessments.

6.5 Records Management Team

- 6.5.1 Develop processes for transporting, storing and cycling documents as part of the vital records protection effort.
- 6.5.2 Prepare and maintain an inventory of vital records and how they are protected. The inventory shall be updated at least annually to document current information regarding records cycling and storage.
- 6.5.3 Develop and maintain an *EMCBC Records Disaster, Prevention, Mitigation, and Recovery Plan*.

▲ The EMCBC Records Disaster Prevention, Mitigation, and Recovery Plan is being developed in conjunction with the EMCBC Vital Records Program to ensure that records are protected and efficiently recovered or salvaged using cost effective methods necessary to resume operations during and after a disaster.

The plan provides detailed instructions and resource information and can serve as a stand-alone document in the event of a disaster or emergency situation resulting in potential damage or loss of EMCBC records.

- 6.5.4 Conduct vital records briefings and/or training sessions to ensure personnel are trained in and knowledgeable of the objectives and requirements of the Vital Records Program.

6.6 COOP Program Point-of-Contact, Office of Logistics Management

- 6.6.1 Ensure that emergency operating records (Tier 1) are compiled, maintained, updated, protected, and retrievable, in accordance with the COOP Plan.
- 6.6.2 Ensure that program personnel are trained in and knowledgeable of the purpose and operations of the emergency operating records protection portion (COOP) Vital Records Program.

6.7 Office of Logistics Management

- 6.7.1 Ensure steps addressed in Section 8.2.2 “Off-site and On-site Storage” are implemented, as necessary.

6.8 Records Custodian

- 6.8.1 In conjunction with the Assistant Director, determine which records within the organizational unit are vital.
- 6.8.2 Submit data utilizing form # IP-243-02-F1, “EMCBC Vital Records Inventory” to the RMFO. A sample vital records inventory is shown in Attachment A.

▲ Vital records will also be incorporated into the EMCBC Master File Plan, and noted as such in the Notes and/or Special Handling column.

- 6.8.3 Ensure vital records are maintained in accordance with this procedure.
- 6.8.4 Transfer and replace copies (known as “cycling”) of vital records as documented in the vital records inventory.

- 6.8.5 Take the appropriate measures to ensure the survival of Vital Records in case of an emergency or disaster in accordance with the *EMCBC Records Disaster, Prevention, Mitigation, and Recovery Plan*, PL-XXX-XX (to be issued).

6.9 EMCBC Employees

- 6.9.1 Assist in the identification and protection of vital records.

7.0 GENERAL INFORMATION

Components of a vital records program include: identifying records needed for performing the Agency's essential functions; protecting the legal and financial rights of DOE, its employees, and the people it serves; developing a plan to protect vital records and assess damage to and the recovery of any records affected by an emergency or disaster; and protecting and safeguarding vital records from loss, misuse, and unauthorized information access or modification.

A vital records program must meet the following minimal requirements:

- Identification of the records that are vital for each essential function identified in EMCBC's Continuity of Operations (COOP) plan.
- Completion of a vital records inventory listing the title of the records, original location, record custodian, record volume, format of record, name of electronic system (if applicable), location of the vital record copy, contact person for information on the record, and rotation schedule for transfer of duplicate vital records to alternate storage.
- Protection of the records in electronic format, whenever feasible, and at micrographic, or electronic copies elsewhere) or storing system backups offsite. Offsite storage must meet basic standards, such as fire prevention and temperature and humidity monitoring.
- Plan for responding to an emergency by identifying the records affected by the disaster, carrying out appropriate salvage efforts, and communicating information appropriate to that type of disaster. See *EMCBC Records Disaster, Prevention, Mitigation, and Recovery Plan*, PL-243-05, (to be issued).
- Select and maintain alternate location(s) for records needed to carry out the mission of the EMCBC in support of emergency actions.
- Procurement and maintenance of basic disaster recovery supplies, including minimum equipment necessary for equipment and records salvage (tape, flashlights, mops, brooms, etc.), and a list of emergency service numbers which include building operations and firefighting, hospital, and sanitation contacts.

8.0 PROCEDURE

8.1 Identification of Vital Records

Assistant Directors, in conjunction with their Records Custodian shall determine which records within their physical and legal custody are vital. Some records may exist only in paper (or electronic) media. Records media shall not affect the determination of whether a record is, or is not, a vital record.

Records essential to continued operations during a local or national emergency comprise the vital records. These records are categorized as either emergency operating records or legal and financial rights records.

- Emergency Operating Records are vital to the essential operating activities of DOE for the duration of an emergency if the national, regional, or local area is attacked comprise the “emergency operating records.” These records must be available at or near the vicinity of the relocation site and should be in a usable form that does not rely on special equipment. Emergency operating records may include classified or sensitive, unclassified information. Current copies of records identified as emergency operating records are continuously maintained at the DOE Continuity of Operations (COOP) site.
- Legal and Financial Rights Records are required for the preservation of legal rights and interests of individual citizens and of the federal government formerly known as “rights and interest records.” These records require protection but need not be maintained at or near the vicinity of the COOP site, nor in paper form, because their need would not be immediate. Legal and financial rights records may include records containing proof of ownership, financial interest (payroll, leave, social security, retirement and insurance), legal proceedings decisions, contractual obligations, and similar records. These records could contain sensitive (OUO, UCNI, etc.) or classified information.

▲ The EMCBC does not have classified documents, but a SLA site may.

Vital records are further broken down into three tiers:

- Tier 1 (also called COOP vital records because they are included in the COOP Plan) protects those records necessary in the first few hours of a crisis, such as:
 - Emergency preparedness plan
 - Emergency telephone tree
 - Delegations of authority
 - Security clearance roster
 - Copy of vital records inventory

- Tier 2 records are necessary to respond to the emergency at hand. These records involve only that work which is necessary to handle the crisis. It is assumed that no day-to-day work will be done until the building is reopened or you have complete access to your records. Examples include:
 - Records that may be needed to respond to the crisis
 - System manuals for critical electronic databases and LANs
 - Records recovery information (e.g., phone numbers of salvage companies)
 - Records that may be needed to get back into the office
 - Combinations and/or keys to get into locked areas
 - Employee lists
- Tier 3 records involve activities which are the most critical to the essential functions. This assumes that your records are completely inaccessible for a prolonged period of time and the few most crucial activities will need to be continued off-site without interruption. The determination of tier three records must be made by each organization. If an office decides that none of their work rises to this level of importance, there will be no tier three records.
 - There is a link between vital records and the COOP. Therefore, one of the criteria that can be used to determine an office's Tier 3 vital records is what the office has defined in its COOP as its "essential functions". **Any records deemed necessary in supporting the office's essential functions should be a part of the office's set of vital records, as they are most critical to the Agency's mission.**

A rule of thumb for identifying and managing vital records is to ask, for each record:

- Can the office's essential functions continue without that record?
- Can the record be found elsewhere or can the record be reconstructed?
- Is the record already protected elsewhere?

8.2 Vital Records Protection

8.2.1 Protection

Once the vital records are identified, the RMFO works with the Assistant Directors, Records Custodians and COOP Program Point-of-Contact to determine the best way to protect the records, and who is responsible for the different parts of the process. The decisions made are incorporated into the vital records inventory.

The Records Team reviews and updates the inventory at least annually. It is important to keep these records up-to-date, therefore, it may be necessary to update on a more regular basis.

- a) Protection methods. There are three basic choices for protecting vital records:
- Dispersal. Dispersal is the act of placing copies of vital records in locations other than those housing the originals. An extra copy of the vital record is made for storage in a secure location, usually remote from the organization's primary place of business.
 - System backups. Electronic records determined as vital records are protected by creating an extra copy of the vital data resident on a computer and placing that copy in a secure location remote from the site where the computer is located.
 - Duplication. There are basically two types of duplicating, each of which may also involve dispersal.
 - The first type of duplication involves preparing extra copies at the time the vital record is originally created.
 - The second type of duplication involves scheduled reproduction of existing records by any process, such as microfilming, electronic imaging or photocopying for the specific purpose of dispersing to a remote storage location in compliance with the vital records program.
- b) Advantages and disadvantages. When making the decision on which method to use, consider these factors:
- Can these records be found in other locations as extra copies?
 - Is the information contained in these records available in an electronic system or database?
 - What will the proposed protection method cost, including ongoing maintenance?
 - What equipment and/or software is needed to access these records?
 - What is the electronic format of the records? Consider the hardware, software, and operating system.
 - How would the records be accessed or retrieved?
 - How often does the information need to be updated?
 - Are there special considerations (e.g., sensitive information)?

8.2.2 Off-site and On-site Storage

8.2.2.1 Off-site Storage

When vital records are protected by duplicating they shall be stored at an off-site facility.

- Copies of emergency operating records may be needed immediately. For example, the emergency telephone tree may be stored in a manager's home. However, it is important that another copy be stored in the off-site facility with 24-hour access so there is access if the individual is not available.
- The facility shall have temperature and humidity control and 24-hour security.
- The facility shall have a sprinkler system and/or a smoke detection system which alerts emergency officials when activated. Either or both shall alert the local enforcement officials that the system has been activated. The area shall have one or more fire extinguishers.
- The facility shall have equipment to reproduce records, should the need arise.
- The facility shall be available to appropriate personnel at all hours in the case of an emergency.
- The area that vital records are stored in shall be inspected for water leaks on a monthly basis. Leaks may appear on ceiling or floor tiles, or along walls or windows.
- Ensure that the area where vital records are stored is not located in a flood plain designation.
- The facility shall be professionally treated and inspected for insects and rodents on an annual basis.

▲Note: The EMCBC alternate offsite location (COOP Site) is the Springdale facility at 175 Tri-County Parkway, 20 miles from the EMCBC downtown Cincinnati Office. The Office of Logistics Management will maintain vital records in the designated Records storage area.

8.2.2.2 On-site Storage

On-site storage options (e.g., fire resistant cabinets)

- Fire resistant cabinets and safes are best used for small quantities of very active vital records that need to be kept close to the user.
- No vital records are to be stored on-site in standard file cabinets or open-shelf files, unless there is a duplicate of the record off-site.
- The area that vital records are stored in should be inspected for water leaks on a monthly basis. Leaks may appear on ceiling or floor tiles, or along walls or windows.

8.3 Vital Records Inventory

A vital records inventory lists the records which have been identified as vital as well as other information about the records, including who, what, when, where, and how. The inventory should be a “one-stop” place providing information on how to locate and recover vital records.

The inventory provides the following information:

- Who is responsible for the original records, the vital records copies, and sending the copies to storage;
- what are the vital records, their format and volume, and the method used to protect them;
- where are the original records and the vital record copies maintained, and
- how often are the vital records replaced (known as “cycling”) and how are they updated?

A sample vital records inventory is shown in **Attachment A**.

▲ Note: The vital records inventory is a part of the EMCBC File Plan, see IP-243-04, Rev. 1, “File Plan Creation and Maintenance”, (to be issued).

9.0 RECORDS MAINTENANCE

9.1 Records generated as a result of implementing this procedure are identified as follows, and are maintained by the Office of Logistics Management:

9.1.1 EMCBC Vital Records Inventory

10.0 FORMS USED

10.1 EMCBC Vital Records Inventory, Form #IP-243-02-F1

11.0 ATTACHMENTS

Attachment A, EMCBC Vital Records Inventory - SAMPLE

EMCBC RECORD OF REVISION**DOCUMENT**

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I** Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I** Placing the words GENERAL REVISION at the beginning of the text.

Rev. No.	Description of Changes	Revision on Pages	Date
1	Initial Procedure	All	03/08/07

**U.S. DEPARTMENT OF ENERGY (DOE)
MANAGEMENT CONSOLIDATED BUSINESS CENTER (EMCBC)**

**** Data is “SAMPLE” data only.**